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PAPERWORK REDUCTION ACT SUBMISSION

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| | | | |
|---|--|--|--|
| 1. Agency/Subagency originating request Dept. of Homeland Security/US Coast Guard | | 2. OMB control number a. <u>1 6 2 5 - 0 0 7 2</u> b. <input type="checkbox"/> None | |
| 3. Type of information collection (check one) a. <input type="checkbox"/> New collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input checked="" type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number <i>For b-f, note item A2 of Supporting Statement instructions</i> | | 4. Type of review requested (check one) a. <input checked="" type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by: ___/___/___ c. <input type="checkbox"/> Delegated 5. Small entities. Will this information collection have a significant economic impact on a substantial number of small entities? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 6. Requested expiration date a. <input checked="" type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: ___/___ | |
| 7. Title Waste Management Plans, Refuse Discharge Logs, and Letters of Instruction for Certain Persons-in-Charge (PIC) | | | |
| 8. Agency form number(s) (if applicable) n/a | | | |
| 9. Keywords Discharge, Log, MARPOL, PIC, Pollution prevention, Refuse, Ship, Vessel | | | |
| 10. Abstract This information is needed to ensure that: (1) certain U.S. oceangoing vessels develop and maintain a waste management plan; (2) certain U.S. oceangoing vessels maintain refuse discharge records; and (3) certain individuals that act as person-in-charge of the transfer of fuel receive a letter of instruction, for prevention of pollution. | | | |
| 11. Affected public (Mark primary with "P" and all others that apply with "X") a. <input checked="" type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input checked="" type="checkbox"/> Business or other for-profit e. <input checked="" type="checkbox"/> Federal Government c. <input checked="" type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Gov't | | 12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input checked="" type="checkbox"/> Mandatory | |
| 13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>18,266</u> b. Total annual responses <u>5,508</u> 1. Percentage of these responses collected electronically <u>15</u> % c. Total annual hours requested <u>55,484</u> d. Current OMB inventory <u>59,653</u> e. Difference <u>- 4,169</u> f. Explanation of difference 1. Program change 2. Adjustment <u>- 4,169</u> | | 14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment | |
| 15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input checked="" type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input checked="" type="checkbox"/> General purpose statistics d. <input type="checkbox"/> Audit g. <input checked="" type="checkbox"/> Regulatory or compliance | | 16. Frequency of recordkeeping or reporting (check all that apply) a. <input checked="" type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting 1. <input checked="" type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input checked="" type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) | |
| 17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | 18. Agency contact (person who can best answer questions regarding the content of this submission) Name: <u>Mr. David Du Pont</u> Phone: <u>(202) 267-0971</u> | |

**Supporting Statement
for
Waste Management Plans, Refuse Discharge Logs,
and Letters of Instruction for Certain Persons-in-Charge (PIC)**

A. Justification.

1) Circumstances that make the collection of information necessary.

This collection is a combination of the following three approved information requests.

- (a) Waste Management Plans.
- (b) Refuse Discharge Logs.
- (c) Letter of Instruction for Persons-in-Charge (PIC) on Uninspected Vessels.

(a) and (b) The International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 (MARPOL 73/78) and codified in 33 USC §§ 1901-1909 requires that the Secretary of the Department in which the Coast Guard is operating to prescribe regulations for refuse record books and waste management plans. These statutory provisions are addressed in 33 CFR Part 151.55 and 151.57 respectively.

(c) The letter of instruction's contents should verify the PIC's credentials, stating that the holder has received sufficient formal instruction from the owner, operator, or agent of the vessel, as required by 33 CFR 155.710(e)(2) and 155.715.

This information collection supports the following strategic goals:

Coast Guard

- Protection of the Natural Resources

Marine Safety, Security and Environmental Protection Directorate (G-M)

- Human and Natural Environment: Eliminate environmental damage associated with maritime transportation and operations on and around the nation's waterways.

2) By whom, how , and for what purpose the information is to be used.

(a) Vessel operators of U.S. oceangoing ships, 40 feet or more in length, engaged in commerce or equipped with galleys and berths are required to develop waste management plans. The purpose of a waste management plan is to prevent the discharge of waste, including plastics, into water. These plans are used to determine whether a ship is in compliance with MARPOL 73/78 Annex V.

(b) Vessel operators of U.S. oceangoing ships of 400 gross tons or more, and U.S. ships involved on international voyages carrying 15 passengers or more, are required to maintain refuse record books. Refuse record books (discharge logs)

are used to document waste discharges from the ships. These are also used to determine whether a ship is in compliance with MARPOL 73/78 Annex V. If noncompliance is indicated, these records may serve as evidence that a ship has violated discharge restrictions.

(c) To ensure that fuel transfer training standards are complied with, all persons in charge (PICs) on uninspected vessels must carry a Letter of Instruction.

3) Consideration of the use of improved information technology.

(a) We believe that most waste management plans and related materials can be recorded electronically, but at this time few are maintained in this fashion. This is because the information required is particular to each vessel's operation and configuration.

(b) and (c) Not applicable. To meet international treaty obligations and national compliance and enforcement requirements, the logs and Letter of Instruction must be maintain and available in written (i.e., non-electronic) format.

We estimate that 60% of all of this collections recordkeeping requirements can be done electronically. At this time, we estimate that 15% are done electronically.

4) Efforts to identify duplication. Why similar information cannot be used.

(a), (b), and (c) There are no State or local regulations relating to this issue. No similar information collection is conducted by other Federal agencies. Similar information does not exist.

5) Methods to minimize the burden to small businesses if involved.

(a) Owing to the nature of the industry, recordkeeping requirements for small entities are generally proportionately less. This can be attributed to smaller vessels, simpler transfer systems and waste handling methods, and smaller numbers of people involved. The procedures are in a narrative form and no particular format is specified.

(b) The Coast Guard believes that these recordkeeping requirements will not adversely affect on a substantial number of small entities because recordkeeping is expected to require six minutes per day for smaller vessels and no particular record book or format is prescribed.

(c) To ensure safety on uninspected vessels, all PICs must comply with the letter carriage requirement. The small burden imposed on small businesses cannot be lessened relative to the burden on larger entities.

6) Consequences to the Federal program if collection were conducted less frequently.

(a) Written waste management plans ensure personnel responsible for the handling of ship generated refuse are aware of the garbage pollution regulations and that waste is handled aboard the ship in a consistent manner. If this information were not recorded, vessel personnel would be unfamiliar with waste handling procedures, which might result in the unintentional disposal of garbage in violation of the regulations. This information is a one-time requirement and revised whenever waste handling procedures are modified.

(b) This information is collected whenever applicable ships discharge garbage. If recordkeeping were required less frequently, the Coast Guard would not be able to use these records as an enforcement tool. Less frequent recordings of disposal/discharge operations would also hinder the Coast Guard's ability to accurately evaluate the level of compliance among ships with MARPOL 73/78 Annex V discharge restrictions. Lastly, if the crew is not held accountable for documenting every disposal/discharge operation, the recordkeeping process will no longer be an effective tool to promote knowledge of discharge regulations and awareness of waste handling practices on the ship.

(c) If information was submitted or recorded less frequently, no assurance could be given that vessels are operating within the applicable requirements that ensure marine safety.

7) Explain any special circumstances that would cause the information collection to be conducted in a manner inconsistent with guidelines.

(a) Waste management plans must be retained for the life of the vessel, because they are used in day-to-day operations. It is estimated that a vessel will average 5 years before its waste management plan has to be revised.

(b) There are no special circumstances with this collection.

(c) The respondent is required to maintain the Letter of Instruction throughout the term of employment, which may be more than 3 years.

8) Consultation.

(a), (b), and (c) The information collection requirements were presented for public comment in accordance with the Administrative Procedure Act of 1946.

9) Explain any decision to provide any payment or gift to respondents.

(a), (b), and (c) No payment or gift of any kind is provided to any respondents.

10) Describe any assurance of confidentiality provided to respondents.

(a), (b), and (c) There are no assurances of confidentiality involved.

11) Additional justification for any questions of a sensitive nature.

(a), (b), and (c) There are no issues of a sensitive nature involved.

12) Estimates of reporting and recordkeeping hour and cost burdens of the collection of information.

- The total respondents to (a), (b), and (c) are 18,266 [a=16,843; b= subset of (a); c=1,423].
- The total annual responses to (a), (b), and (c) are 5,508 [a=3,369; b=1,285; c=854].
- The total annual burden hours requested for (a), (b), and (c) are 55,484 [a=3,591; b=51,750; c=143].
- The total annual costs for (a), (b), and (c) are \$2,752,117 [a=\$158,922; b=\$2,587,475; c=\$5,720].

(a) Waste Management Plans apply to:

- ✓ Each manned oceangoing U.S. ship of 40 feet (12.2 meters) in length or more that is engaged in commerce and is documented under the laws of the United States or numbered by a State; and
- ✓ Each manned fixed or floating platform subject to the jurisdiction of the United States.

According to the Coast Guard's Marine Safety Management System (MSMS), we estimate the number of **respondents** (or total population) to be **16,843**. Table 1 below shows the vessel class distribution of all affected vessels. The frequency of response is not on a set schedule, but whenever a revision is made or when requested by Coast Guard personnel for review during a vessel boarding. The estimated burden on respondents is explained below. The total annual burden is estimated at **3,369 hours**. The total annual cost is estimated at **\$136,606.50**.

Table 1
Vessels Subject to Waste Management Plan Requirement

| Type of Vessel/Platform | Oceangoing vessels >= 40 Ft and MODUs |
|--------------------------------|---|
| Commercial | 1 |
| Fishing Boat | 13,699 |
| Tank Ship | 122 |
| Freight Ship | 313 |
| Industrial Vessels | 139 |

| | |
|-------------------------|---------------|
| Oil Recovery | 131 |
| Offshore Supply Vessels | 912 |
| Passenger Vessels | 1,268 |
| Public Vessels | 12 |
| Recreational Vessels | 20 |
| Research Vessels | 27 |
| School Vessels | 9 |
| Towboat/tugboat | 45 |
| Unclassified | 18 |
| Manned Fixed or MODU | 127 |
| Total | 16,843 |

Annual Burden Hours

- There are 16,843 vessels and platforms that are required to have a waste management plan. The Coast Guard estimates that these plans will be revised on an average of every 5 years (1/5, or 20%, of all plans will be revised annually: $16,843/5 = 3,369$). Revisions will take approximately 1/2 hour to draft and 1/2 hour to type per response (1 hour total). A total of 3,369 annual burden hours is required for the 3,369 annual waste management plan revisions (3,369 vessels X 1 hrs/plan).
- There are, on average, 222 new vessels per year that are required to complete a waste management plan for the first time. Completing this plan will take approximately one hour and 15 minutes to draft and one hour and 15 minutes to type per response (2.5 hours total). Therefore, the Coast Guard estimates that a total of 555 annual burden hours for 222 annual waste management plan completions (222 vessels X 2.5 hrs/plan) is required.
- The Coast Guard estimates a requirement of 3,591 total annual burden hours for new waste management plans and revisions of waste management plans.

Annual Cost

- Table 2 provides the details for this calculation. The wages of Managers and Clerical workers are assumed to be the equivalent to a LT and an ENS, respectively. Per Enclosure (2) to COMDTINST 73101.1F the corresponding wages for out of Government are \$50 per hour for a LT (O-3) and \$31 per hour for an ENS (O-1).
- The estimated annual cost to industry to revise waste management plans is \$136,606.50.
- The estimated annual cost to industry to complete new waste management plans is \$22,477.50.
- Table 3 indicates that the total annual cost to complete new waste management plans and revise current waste management plans is \$158,922.00.

Table 2**Annual Cost of Revising Waste Management Plans**

| | Response Time | Clerical | Management |
|----------------------|---------------------|--------------------|-----------------|
| | Hourly Rate | 0.5 | 0.5 |
| | | \$ 31.00 | \$ 50.00 |
| Burden Hours | 3,369 | 1,684.50 | 1,684.50 |
| Revision Cost | \$136,444.50 | \$52,219.50 | \$84,225 |

Table 3**Annual Cost of Completing Waste Management Plans**

| | Response Time | Clerical | Management |
|-----------------------|--------------------|-------------------|-----------------|
| | Hourly Rate | 1.25 | 1.25 |
| | | \$ 31.00 | \$ 50.00 |
| Burden Hours | 222 | 277.50 | 277.50 |
| New Plans Cost | \$22,477.50 | \$8,602.50 | \$13,875 |

Total Annual Burden [hrs] 3,591
Total Annual Cost \$158,922.

(b) Refuse Discharge Logs apply to:

- ✓ Each manned oceangoing U.S. ship of 400 gross tons or more that is engaged in commerce and is documented under the laws of the United States or numbered by a State; and
- ✓ Each manned fixed or floating platform subject to the jurisdiction of the United States.

According to the Coast Guard's Marine Safety Management System (MSMS), we estimate the number of respondents (or total population for this requirement) to be **1,285**. Table 4 below identifies the burden of each type of vessel required to meet this requirement. We estimate that the burden per entry will be 5 minutes (0.083 hrs). We also assume that the person in charge of meeting this requirement would earn a salary equivalent to that of a LT for out of government rate of \$50 per hour as noted in Enclosure (2) to COMDTINST 73101.1F. Table 5 shows the total burden and cost of this requirement. The total annual burden is estimated at **51,750 hours** (rounding up the 51,749.50 hours from Table 5). The total annual cost is estimated at \$2,587,475.

Table 4: Annual Hour and Cost Burden per Vessel or Platform

| | Number of days in operation | Average Daily Entries | Average annual entries per vessel or platform | Annual hour burden per vessel or platform [5min/entry] | Annual cost per vessel or platform [\$50/hr] |
|-------------------------|-----------------------------|-----------------------|---|--|--|
| Commercial | 330 | 2 | 660 | 55.0 | \$ 2,750.00 |
| Fishing Boat | 330 | 1 | 330 | 27.5 | \$ 1,375.00 |
| Freight and Tank | 330 | 2 | 660 | 55.0 | \$ 2,750.00 |
| Industrial Vessels | 330 | 1 | 330 | 27.5 | \$ 1,375.00 |
| Oil Recovery | 330 | 1 | 330 | 27.5 | \$ 1,375.00 |
| Offshore Supply Vessels | 365 | 1 | 365 | 30.4 | \$ 1,520.83 |
| Passenger Vessels | 330 | 2 | 660 | 55.0 | \$ 2,750.00 |
| Public Vessels | 262 | 1 | 262 | 21.8 | \$ 1,091.67 |
| Recreational Vessels | 200 | 1 | 200 | 16.7 | \$ 833.33 |
| Research/School Vessels | 200 | 1 | 200 | 16.7 | \$ 833.33 |
| Towboat/Tugboat | 262 | 1 | 262 | 21.8 | \$ 1,091.67 |
| Unclassified Vessels | 200 | 1 | 200 | 16.7 | \$ 833.33 |
| MODU | 365 | 1 | 365 | 30.4 | \$ 1,520.83 |

Table 5: Annual Hour and Cost Burden for All Vessels or Platforms

| | Oceangoing vessels >= 400 GT | Vessels w/ 15+ passengers, on int'l voyage | Total Vessels or platforms | Annual hour burden [5min/entry] | Total annual cost [\$50/hr] |
|-------------------------|------------------------------|--|----------------------------|---------------------------------|-----------------------------|
| Commercial | 1 | | 1 | 55.00 | \$ 2,750.00 |
| Fishing Boat | 45 | | 45 | 1,237.50 | \$ 61,875.00 |
| Freight and Tank | 502 | 3 | 505 | 27,775.00 | \$ 1,388,750.00 |
| Industrial Vessels | 100 | | 100 | 2,750.00 | \$ 137,500.00 |
| Oil Recovery | 36 | | 36 | 990.00 | \$ 49,500.00 |
| Offshore Supply Vessels | 174 | | 174 | 5,292.50 | \$ 264,625.00 |
| Passenger Vessels | 7 | 90 | 97 | 5,335.00 | \$ 266,750.00 |
| Public Vessels | 76 | | 76 | 1,659.33 | \$ 82,966.67 |
| Recreational Vessels | 2 | | 2 | 33.33 | \$ 1,666.67 |
| Research/School Vessels | 44 | | 44 | 733.33 | \$ 36,666.67 |
| Towboat/Tugboat | 26 | | 26 | 567.67 | \$ 28,383.33 |
| Unclassified Vessels | 9 | | 9 | 150.00 | \$ 7,500.00 |
| MODU | 170 | | 170 | 5,170.83 | \$ 258,541.67 |
| Total | 1192 | | 1285 | 51,749.50 | \$ 2,587,475.00 |

(c) There are approximately 1,423 vessels that are classified as uninspected vessels and are required to have PIC's for transfers. The total effected population is 2,846 (1,423 vessels x 2 PIC's per vessel). Because this collection is only performed once in the employment of the mariner, the actual number of annual

responses is calculated by taking into account the attrition of mariners (turnover rate). The Coast Guard assumes that all affected companies have an annual attrition rate of 30%. Therefore, **854 responses** are expected annually. The Coast Guard also expects that the burden of writing the required letter is 10 minutes (.167 hrs). The annual hour burden for this requirement is **143 hours** (854 letters X .167 hrs per letter), and the cost is **\$5,720** (143 hrs X \$40). We assume that the person writing the letter would be awarded wages equivalent to a LTjg (O-2). Per Enclosure (2) to COMDTINST 73101.1F the out of government wage is \$40.

13) Estimates of annualized capital and start-up costs.

(a), (b), and (c) Not applicable.

14) Estimates of annualized Federal Government costs.

(a) Coast Guard personnel review waste management plans during routine vessel boarding. This review takes approximately 9 minutes (0.15 hours) of enlisted time at \$32 per hour (E-7). The Coast Guard conducts approximately 38,000 vessel boardings annually. Therefore, the burden associated with the review of waste management plans is **5,700 hours** and **\$182,400**.

It is estimated that 20% of the 16,843 U.S. oceangoing vessels 40 feet or more in length (3,369) will revise their waste management plans. Coast Guard enlisted personnel will review these revisions, taking approximately 9 minutes (0.15 hours) per revision at \$36 per hour. Therefore, the burden associated with the revision of waste management plans is **505 hours** and **\$18,193**.

(b) There is no estimated cost to the Federal Government, because the records are only reviewed/checked on occasion by U.S. Coast Guard personnel to ensure compliance.

(c) It will take the COTP approximately 10 minutes (0.167 hours) per vessel to verify compliance with this requirement. There are 1,423 uninspected vessels; therefore, the total annual burden is **237 hours** (1,423 vessels x 0.167 hours). The annual cost to the government based on a wage of \$35/hour is **\$8,317** (\$35/hour x 237 annual burden hours). The wage of a LTjg (O-2) for in government work was used as prescribed in Enclosure (2) to COMDTINST 73101.1F.

15) Explain the reasons for the change in burden.

The following factors affected the changes in burden:

- ✓ Updated population data
- ✓ Updated hourly wage rates for personnel per Enclosure (2) to COMDTINST 73101.1F.

- ✓ A new estimate for the first-time completion of waste management plans, which was not taken into account in previous collections, was made.

16) For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis and publication.

(a), (b), and (c) No plans exist for the use of statistical analysis or to publish this information.

17) Explain the reasons for seeking not to display the expiration date for OMB approval of the information of collection.

Not applicable.

18) Explain each exception to the certification statement.

Not applicable.

B. Collection of Information Employing Statistical Methods.

Not applicable.